

**PERSONAL FINANCIAL STATEMENT****FORM PFS**  
**COVER SHEET**  
**PAGE 1**

Filed in accordance with chapter 572 of the Government Code.  
For filings required in 2019, covering calendar year ending December 31, 2018.  
Use FORM PFS--INSTRUCTION GUIDE when completing this form.

PAGE #  
24ACCOUNT #  
00019652

|   |  |   |  |
|---|--|---|--|
| 1 NAME<br><br>The Honorable Greg<br><br>.....<br>NICKNAME; LAST; SUFFIX<br>Abbott   |  | <b>OFFICE USE ONLY</b><br><br>Date Received<br>ELECTRONICALLY FILED<br>06/27/2019 |  |
| 2 ADDRESS<br><br>Post Office Box 308<br><br>Austin, TX 78767<br><br><input type="checkbox"/> (CHECK IF FILER'S HOME ADDRESS)  |  | Receipt #<br><br>HD / PM Amount<br><br>Date Processed                             |  |
| 3 TELEPHONE NUMBER<br><br>[REDACTED]  |  | Date Imaged   |  |
| 4 REASON FOR FILING STATEMENT<br><br><input type="checkbox"/> CANDIDATE _____ (INDICATE OFFICE)<br><input checked="" type="checkbox"/> ELECTED OFFICER Governor (INDICATE OFFICE)<br><input type="checkbox"/> APPOINTED OFFICER _____ (INDICATE AGENCY)<br><input type="checkbox"/> EXECUTIVE HEAD _____ (INDICATE AGENCY)<br><input type="checkbox"/> FORMER OR RETIRED JUDGE SITTING BY ASSIGNMENT<br><input type="checkbox"/> STATE PARTY CHAIR _____ (INDICATE PARTY)<br><input type="checkbox"/> OTHER _____ (INDICATE POSITION) |  |   |  |

5 Family members whose financial activity you are reporting (see instructions).

SPOUSE Cecilia Abbott

DEPENDENT CHILD 1. [REDACTED]  
2. \_\_\_\_\_  
3. \_\_\_\_\_

In Parts 1 through 18, you will disclose your financial activity during the preceding calendar year. In Parts 1 through 14, you are required to disclose not only your own financial activity, but also that of your spouse or a dependent child (see instructions).

# SOURCES OF OCCUPATIONAL INCOME

## PART 1A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and DO NOT include this page in the report.**

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |  |
|--|--|
| <b>1</b> INFORMATION RELATES TO  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____   |
| <b>2</b> EMPLOYMENT<br><input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD<br><input type="checkbox"/> (Check if Filer's Home Address)<br>EMPLOYER<br>Office of the Governor<br>ADDRESS / PO BOX;    APT / SUITE #;    CITY;    STATE;    ZIP CODE<br>P.O. Box 12428<br><br>Austin, TX 78711-2428<br><br>POSITION HELD<br>Governor           |
| <input type="checkbox"/> SELF-EMPLOYED   | NATURE OF OCCUPATION   |
| INFORMATION RELATES TO   | <input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input checked="" type="checkbox"/> DEPENDENT CHILD <u>1</u>  |
| EMPLOYMENT<br><input checked="" type="checkbox"/> EMPLOYED BY ANOTHER          | NAME AND ADDRESS OF EMPLOYER / POSITION HELD<br><input type="checkbox"/> (Check if Filer's Home Address)<br>EMPLOYER<br>William Morris Endeavor<br>ADDRESS / PO BOX;    APT / SUITE #;    CITY;    STATE;    ZIP CODE<br>9601 Wilshire Blvd.<br><br>Beverly Hills, CA 90210<br><br>POSITION HELD<br>Internship |
| <input type="checkbox"/> SELF-EMPLOYED   | NATURE OF OCCUPATION   |

**STOCK****PART 2**

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and DO NOT include this page in the report.**

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|                                    |   |  |  |  |  |
|------------------------------------|---|--|--|--|--|
| <b>1</b> BUSINESS ENTITY           | NAME<br>iShares Core S&P ETF (IVV)                |  |  |  |  |
| <b>2</b> STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| <b>3</b> NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                                    | <input type="checkbox"/> LESS THAN 10K            | <input type="checkbox"/> 10,000 OR MORE    |  |  |  |
| <b>4</b> IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN      | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                                    | <input type="checkbox"/> NET LOSS                 |  |  |  |  |

|                           |   |  |  |  |  |
|---------------------------|---|--|--|--|--|
| BUSINESS ENTITY           | NAME<br>iShares 20+ Year Treasury Bond ETF (TLT)  |  |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K            | <input type="checkbox"/> 10,000 OR MORE    |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN      | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                           | <input type="checkbox"/> NET LOSS                 |  |  |  |  |

|                           |   |  |  |  |  |
|---------------------------|---|--|--|--|--|
| BUSINESS ENTITY           | NAME<br>ProShares Short VIX Short Term (SVXY) |  |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER     | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100        | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K        | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN             | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                           | <input type="checkbox"/> NET LOSS             |  |  |  |  |

|                           |   |  |  |  |  |
|---------------------------|---|--|--|--|--|
| BUSINESS ENTITY           | NAME<br>U.S. Copper Index Fund (CPER)             |  |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K            | <input type="checkbox"/> 10,000 OR MORE    |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                           | <input type="checkbox"/> NET LOSS                 |  |  |  |  |

**STOCK****PART 2**

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List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|  |   |  |  |  |
|--|---|--|--|--|
| <b>1 BUSINESS ENTITY</b>   | NAME<br>Schwab U.S. Large-Cap ETF (SCHX)          |  |  |  |
| <b>2 STOCK HELD OR ACQUIRED BY</b>   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD     | _____                                      |
| <b>3 NUMBER OF SHARES</b>  | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999          | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> LESS THAN 10K            | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| <b>4 IF SOLD</b><br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000        | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|   |   |  |  |  |
|---|---|--|--|--|
| BUSINESS ENTITY   | NAME<br>iPath Bloomberg Copper SubTR ETN (JJC)    |  |  |  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD     | _____                                      |
| NUMBER OF SHARES  | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999          | <input type="checkbox"/> 1,000 TO 4,999    |
|   | <input type="checkbox"/> LESS THAN 10K            | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000        | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|   |   |  |  |  |
|---|---|--|--|--|
| BUSINESS ENTITY   | NAME<br>Global X Copper Miners ETF (COPX)         |  |  |  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD     | _____                                      |
| NUMBER OF SHARES  | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999          | <input type="checkbox"/> 1,000 TO 4,999    |
|   | <input type="checkbox"/> LESS THAN 10K            | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000        | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|   |  |  |  |  |
|---|--|--|--|--|
| BUSINESS ENTITY   | NAME<br>iPath A Series B Bloomberg Coffee SubTR ETN (JO) |  |  |  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER                | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD     | _____                                      |
| NUMBER OF SHARES  | <input checked="" type="checkbox"/> LESS THAN 100        | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999          | <input type="checkbox"/> 1,000 TO 4,999    |
|   | <input type="checkbox"/> LESS THAN 10K                   | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000               | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|                                    |   |   |  |  |  |
|------------------------------------|---|---|--|--|--|
| <b>1</b> BUSINESS ENTITY           | NAME<br>Teucrium Wheat Fund ETV (WEAT)  |   |  |  |  |
| <b>2</b> STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| <b>3</b> NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                                    | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| <b>4</b> IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>SPDR S&P 500 ETF (SPY)  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>iShares Silver Trust (SLV)  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>ProShares UltraShort S&P 500 (SDS)  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|                                    |   |   |  |  |  |
|------------------------------------|---|---|--|--|--|
| <b>1</b> BUSINESS ENTITY           | NAME<br>PowerShares QQQ Trust, Series 1 (QQQ)                                     |   |  |  |  |
| <b>2</b> STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| <b>3</b> NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                                    | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| <b>4</b> IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>iShares IBoxx \$ Invmt Grade Corp Bd ETF (LQD)                            |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>iPath Bloomberg Coffee Total Return SM Index ETN (JJOFF)                  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>iPath Bloomberg Copper SubTR ETN (JJCTF)                                  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**STOCK****PART 2**

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|                                    |   |   |  |  |  |
|------------------------------------|---|---|--|--|--|
| <b>1</b> BUSINESS ENTITY           | NAME<br>iShares India 50 ETF (INDY)   |   |  |  |  |
| <b>2</b> STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| <b>3</b> NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                                    | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| <b>4</b> IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>iShares Core MSCI Emerging Markets ETF (IEMG)                             |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>iShares Gold Trust (IAU)  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD       | _____  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input type="checkbox"/> 100 TO 499                   | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>iShares iBoxx \$ High Yield Corp Bond ETF (HYG)                           |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**STOCK****PART 2**

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List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|                                    |   |   |  |  |  |
|------------------------------------|---|---|--|--|--|
| <b>1</b> BUSINESS ENTITY           | NAME<br>SPDR Dow Jones Industrial Average ETF (DIA)                               |   |  |  |  |
| <b>2</b> STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| <b>3</b> NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                                    | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| <b>4</b> IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NAME<br>iShares Core U.S. Aggregate Bond ETF (AGG)                                |   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |   |  |  |
|---------------------------|--|--|---|--|--|
| BUSINESS ENTITY           | NAME<br>The Walt Disney Company (DIS)                                  |  |   |  |  |
| STOCK HELD OR ACQUIRED BY | <input type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE            | <input checked="" type="checkbox"/> DEPENDENT CHILD | 1 _____                                      |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                 | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K                                 | <input type="checkbox"/> 10,000 OR MORE    |   |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999          | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |  |  |
|---------------------------|---|---|---|--|--|
| BUSINESS ENTITY           | NAME<br>ProShares Ultra S&P 500 (SSO)   |   |   |  |  |
| STOCK HELD OR ACQUIRED BY | <input type="checkbox"/> FILER  | <input type="checkbox"/> SPOUSE                       | <input checked="" type="checkbox"/> DEPENDENT CHILD | 1 _____                                      |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                 | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999          | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**STOCK****PART 2**

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|                                    |   |  |  |  |  |  |
|------------------------------------|---|--|--|--|--|--|
| <b>1</b> BUSINESS ENTITY           | NAME<br>iPathA Series B Bloomberg Sugar (SGG)     |  |  |  |  |  |
| <b>2</b> STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE              | <input type="checkbox"/> DEPENDENT CHILD   | _____                                      |  |  |
| <b>3</b> NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499          | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999    |  |  |
|                                    | <input type="checkbox"/> LESS THAN 10K            | <input type="checkbox"/> 10,000 OR MORE      |  |  |  |  |
| <b>4</b> IF SOLD                   | <input type="checkbox"/> NET GAIN                 | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |  |  |  |  |
|---------------------------|--|--|--|--|--|--|
| BUSINESS ENTITY           | NAME<br>iShares Edge MSCI USA Momentum Factor ETF (MTUM) |  |  |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                | <input type="checkbox"/> SPOUSE              | <input type="checkbox"/> DEPENDENT CHILD   | _____                                      |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100        | <input type="checkbox"/> 100 TO 499          | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999    |  |  |
|                           | <input type="checkbox"/> LESS THAN 10K                   | <input type="checkbox"/> 10,000 OR MORE      |  |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN                        | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |  |  |  |  |  |
|---------------------------|---|--|--|--|--|--|
| BUSINESS ENTITY           | NAME<br>SPDR Gold Trust (GLD)                     |  |  |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE              | <input type="checkbox"/> DEPENDENT CHILD   | _____                                      |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499          | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999    |  |  |
|                           | <input type="checkbox"/> LESS THAN 10K            | <input type="checkbox"/> 10,000 OR MORE      |  |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN                 | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |  |  |  |  |  |
|---------------------------|---|--|--|--|--|--|
| BUSINESS ENTITY           | NAME<br>Teucrium Corn Fund ETV (CORN)     |  |  |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD   | _____                                      |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100    | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999    |  |  |
|                           | <input type="checkbox"/> LESS THAN 10K    | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN         | <input checked="" type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**STOCK****PART 2**

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List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|                                    |   |   |  |  |  |
|------------------------------------|---|---|--|--|--|
| <b>1 BUSINESS ENTITY</b>           | NAME<br>Teucrium Soybean Fund ETV (SOYB)  |   |  |  |  |
| <b>2 STOCK HELD OR ACQUIRED BY</b> | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD   | _____  |  |
| <b>3 NUMBER OF SHARES</b>          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                                    | <input type="checkbox"/> LESS THAN 10K  | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| <b>4 IF SOLD</b>                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

# BONDS, NOTES & OTHER COMMERCIAL PAPER

## PART 3

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and DO NOT include this page in the report.**

List all bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|                             |  |   |  |  |  |
|-----------------------------|--|---|--|--|--|
| 1 DESCRIPTION OF INSTRUMENT | U.S. Treasury Notes  |   |  |  |  |
| 2 HELD OR ACQUIRED BY       | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |   |  |  |  |
| 3 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS  | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |  |  |  |
|---------------------------|--|--|--|--|--|
| DESCRIPTION OF INSTRUMENT | U.S. Treasury Zero Coupon Notes  |  |  |  |  |
| HELD OR ACQUIRED BY       | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

# MUTUAL FUNDS

## PART 4

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and DO NOT include this page in the report.**

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|   |  |   |  |   |  |
|---|--|---|--|---|--|
| <b>1</b> MUTUAL FUND  |  | NAME<br>Fidelity Government Money Market (SPAXX)      |  |   |  |
| <b>2</b> SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  |  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____        |  |
| <b>3</b> NUMBER OF SHARES OF MUTUAL FUND  |  | <input type="checkbox"/> LESS THAN 100                | <input type="checkbox"/> 100 TO 499                | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999    |
|   |  | <input type="checkbox"/> 5,000 to 9,999               | <input checked="" type="checkbox"/> 10,000 OR MORE |   |  |
| <b>4</b> IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS |  | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999         | <input type="checkbox"/> \$10,000 - \$24,999          | <input type="checkbox"/> \$25,000--OR MORE |
| <br>MUTUAL FUND   |  | NAME<br>American Funds New Perspective F1 (NPFFX)     |  |   |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY   |  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____        |  |
| NUMBER OF SHARES OF MUTUAL FUND   |  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499                | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999    |
|   |  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE            |   |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS          |  | <input type="checkbox"/> LESS THAN \$5,000            | <input type="checkbox"/> \$5,000 - \$9,999         | <input type="checkbox"/> \$10,000 - \$24,999          | <input type="checkbox"/> \$25,000--OR MORE |
| <br>MUTUAL FUND   |  | NAME<br>DoubleLine Shiller Enhanced CAPE N (DSENX)    |  |   |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY   |  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE                    | <input checked="" type="checkbox"/> DEPENDENT CHILD 1 | _____                                      |
| NUMBER OF SHARES OF MUTUAL FUND   |  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499                | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999    |
|   |  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE            |   |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS          |  | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999         | <input type="checkbox"/> \$10,000 - \$24,999          | <input type="checkbox"/> \$25,000--OR MORE |
| <br>MUTUAL FUND   |  | NAME<br>FMI International (FMIJX)                     |  |   |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY   |  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____        |  |
| NUMBER OF SHARES OF MUTUAL FUND   |  | <input type="checkbox"/> LESS THAN 100                | <input checked="" type="checkbox"/> 100 TO 499     | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999    |
|   |  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE            |   |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS          |  | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999         | <input type="checkbox"/> \$10,000 - \$24,999          | <input type="checkbox"/> \$25,000--OR MORE |

# MUTUAL FUNDS

## PART 4

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List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|  |   |  |  |  |
|--|---|--|--|--|
| 1 MUTUAL FUND  | NAME<br>Wasatch Emerging India Investor (WAINX) |  |  |  |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER       | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| 3 NUMBER OF SHARES OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100          | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999         | <input type="checkbox"/> 10,000 OR MORE        |  |  |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000      | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

|  |   |  |   |  |
|--|---|--|---|--|
| MUTUAL FUND  | NAME<br>PIMCO Income D (PONAX)                        |  |   |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE                | <input checked="" type="checkbox"/> DEPENDENT CHILD 1 | _____                                      |
| NUMBER OF SHARES OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100                | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE        |   |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999          | <input type="checkbox"/> \$25,000--OR MORE |

|  |   |  |  |  |
|--|---|--|--|--|
| MUTUAL FUND  | NAME<br>Matthews Asia Dividend Investor (MAPIX)       |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100                | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE        |  |  |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

|  |   |  |  |  |
|--|---|--|--|--|
| MUTUAL FUND  | NAME<br>Matthews Emerging Asia Investor (MEASX)       |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

# MUTUAL FUNDS

## PART 4

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|  |   |  |  |  |
|--|---|--|--|--|
| 1 MUTUAL FUND  | NAME<br>Fidelity Floating Rate High Income (FFRHX)        |  |  |  |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER                 | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| 3 NUMBER OF SHARES OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100                    | <input type="checkbox"/> 100 TO 499            | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999                   | <input type="checkbox"/> 10,000 OR MORE        |  |  |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |
| MUTUAL FUND  | NAME<br>Eaton Vance TABS 5 to 15 Yr Lad Muni Bd A (EALTX) |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER                 | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100                    | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999                   | <input type="checkbox"/> 10,000 OR MORE        |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS   | <input checked="" type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |
| MUTUAL FUND  | NAME<br>DoubleLine Total Return Bond N (DLTNX)            |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER                 | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100                    | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999                   | <input type="checkbox"/> 10,000 OR MORE        |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS   | <input checked="" type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |
| MUTUAL FUND  | NAME<br>BlackRock Credit Strategies Income Inv A (BMSAX)  |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER                 | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100                    | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999                   | <input type="checkbox"/> 10,000 OR MORE        |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS   | <input checked="" type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

# MUTUAL FUNDS

## PART 4

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List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|  |  |   |  |  |  |
|--|--|---|--|--|--|
| <b>1</b> MUTUAL FUND   |  | NAME<br>Fidelity Municipal Money Market (FTEXX)       |  |  |  |
| <b>2</b> SHARES OF MUTUAL FUND HELD OR ACQUIRED BY   |  | <input type="checkbox"/> FILER                        | <input type="checkbox"/> SPOUSE            | <input checked="" type="checkbox"/> DEPENDENT CHILD <u>1</u> |  |
| <b>3</b> NUMBER OF SHARES OF MUTUAL FUND   |  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                          | <input type="checkbox"/> 1,000 TO 4,999    |
|  |  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| <b>4</b> IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   |  | <input type="checkbox"/> LESS THAN \$5,000            | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999                 | <input type="checkbox"/> \$25,000--OR MORE |
| <br>MUTUAL FUND  |  | NAME<br>Schwab S&P 500 Index (SWPPX)                  |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  |  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input checked="" type="checkbox"/> DEPENDENT CHILD <u>1</u> |  |
| NUMBER OF SHARES OF MUTUAL FUND  |  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                          | <input type="checkbox"/> 1,000 TO 4,999    |
|  |  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS            |  | <input type="checkbox"/> LESS THAN \$5,000            | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999                 | <input type="checkbox"/> \$25,000--OR MORE |
| <br>MUTUAL FUND  |  | NAME<br>Parnassus Endeavor Investor (PARWX)           |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  |  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD                     |  |
| NUMBER OF SHARES OF MUTUAL FUND  |  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                          | <input type="checkbox"/> 1,000 TO 4,999    |
|  |  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS |  | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999                 | <input type="checkbox"/> \$25,000--OR MORE |
| <br>MUTUAL FUND  |  | NAME<br>Performance Trust Strategic Bond (PTIAX)      |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  |  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD                     |  |
| NUMBER OF SHARES OF MUTUAL FUND  |  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                          | <input type="checkbox"/> 1,000 TO 4,999    |
|  |  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS |  | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999                 | <input type="checkbox"/> \$25,000--OR MORE |

# MUTUAL FUNDS

## PART 4

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List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|  |   |  |  |  |
|--|---|--|--|--|
| 1 MUTUAL FUND  | NAME<br>PGIM Floating Rate Income Z (FRFZX)           |  |  |  |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| 3 NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

|  |   |  |  |  |
|--|---|--|--|--|
| MUTUAL FUND  | NAME<br>PIMCO StocksPLUS Intl (PIPAX)                 |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

|  |   |  |  |  |
|--|---|--|--|--|
| MUTUAL FUND  | NAME<br>Pin Oak Equity (POGSX)                        |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

|  |   |  |  |  |
|--|---|--|--|--|
| MUTUAL FUND  | NAME<br>Tributary Small Company Instl (FOSCX)         |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

# MUTUAL FUNDS

## PART 4

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List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|  |   |  |  |  |
|--|---|--|--|--|
| 1 MUTUAL FUND  | NAME<br>Virtus Seix Floating Rate High Inc (SAMBX)    |  |  |  |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| 3 NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

|   |   |  |  |  |
|---|---|--|--|--|
| MUTUAL FUND   | NAME<br>Vanguard Wellington Admiral (VWENX) |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND   | <input type="checkbox"/> LESS THAN 100      | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|   | <input type="checkbox"/> 5,000 to 9,999     | <input type="checkbox"/> 10,000 OR MORE        |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

|   |   |  |  |  |
|---|---|--|--|--|
| MUTUAL FUND   | NAME<br>Vanguard Institutional Index Instl PI (VIIIX) |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND   | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|   | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000            | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

|  |   |  |  |  |
|--|---|--|--|--|
| MUTUAL FUND  | NAME<br>Lord Abbett Small Cap Value I (LRSYX)         |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

# MUTUAL FUNDS

## PART 4

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List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|  |   |  |  |  |
|--|---|--|--|--|
| 1 MUTUAL FUND  | NAME<br>BlackRock LifePath Index 2030 Fund F          |  |  |  |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| 3 NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |
|  |   |  |  |  |
| MUTUAL FUND  | NAME<br>BlackRock LifePath Index 2035 Fund F          |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS   | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |
|  |   |  |  |  |
| MUTUAL FUND  | NAME<br>BlackRock Short Term Investment W             |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100                | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input checked="" type="checkbox"/> 5,000 to 9,999    | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000            | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |
|  |   |  |  |  |
| MUTUAL FUND  | NAME<br>BlackRock LifePath Index 2020 Fund F          |  |  |  |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100     | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999    |
|  | <input type="checkbox"/> 5,000 to 9,999               | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000            | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

# INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

## PART 5

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and DO NOT include this page in the report.**

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| 1 SOURCE OF INCOME<br><br><input type="checkbox"/> Publicly held corporation | NAME AND ADDRESS<br><br>U.S. Treasury Notes<br>ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE<br>P.O. Box 770001<br><br>Cincinnati, OH 45277-0002                              |  |  |  |  |
| 2 RECEIVED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____   |  |  |  |  |
| 3 AMOUNT   | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |  |  |  |  |

# PERSONAL NOTES AND LEASE AGREEMENTS

## PART 6

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and DO NOT include this page in the report.**

Identify each guarantor of a loan and each person or financial institution to whom you, your spouse, or a dependent child had a total financial liability of more than \$1,000 in the form of a personal note or notes or lease agreement at any time during the calendar year and indicate the category of the amount of the liability. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |   |  |   |  |
|---|---|--|---|--|
| 1 PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT | Chrysler Capital                                      |  |   |  |
| 2 LIABILITY OF  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD                | _____                                      |
| 3 GUARANTOR   | NONE  |  |   |  |
| 4 AMOUNT  | <input type="checkbox"/> \$1,000 - \$4,999            | <input type="checkbox"/> \$5,000 - \$9,999 | <input checked="" type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT   | Public Storage  |  |   |  |
| LIABILITY OF  | <input checked="" type="checkbox"/> FILER             | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD                | _____                                      |
| GUARANTOR   | NONE  |  |   |  |
| AMOUNT  | <input checked="" type="checkbox"/> \$1,000 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999            | <input type="checkbox"/> \$25,000--OR MORE |
| PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT   | University Gateway Apartments                         |  |   |  |
| LIABILITY OF  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input checked="" type="checkbox"/> DEPENDENT CHILD     | 1 _____                                    |
| GUARANTOR   | NONE  |  |   |  |
| AMOUNT  | <input type="checkbox"/> \$1,000 - \$4,999            | <input type="checkbox"/> \$5,000 - \$9,999 | <input checked="" type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT   | The Shrine Collection                                 |  |   |  |
| LIABILITY OF  | <input checked="" type="checkbox"/> FILER             | <input type="checkbox"/> SPOUSE            | <input checked="" type="checkbox"/> DEPENDENT CHILD     | 1 _____                                    |
| GUARANTOR   | NONE  |  |   |  |
| AMOUNT  | <input type="checkbox"/> \$1,000 - \$4,999            | <input type="checkbox"/> \$5,000 - \$9,999 | <input checked="" type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

## **GIFTS**

## PART 8

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and DO NOT include this page in the report.**

Identify any person or organization that has given a gift worth more than \$250 to you, your spouse, or a dependent child, and describe the gift. The description of a gift of cash or a cash equivalent, such as a negotiable instrument or gift certificate must include a statement of the value of the gift. Do not include: 1) expenditures required to be reported by a person required to be registered as a lobbyist under chapter 305 of the Government Code; 2) political contributions reported as required by law; or 3) gifts given by a person related to the recipient within the second degree by consanguinity or affinity. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                       |   |  |  |  |  |
|-----------------------|---|--|--|--|--|
| 1 DONOR               | <p>NAME AND ADDRESS</p> <p>Burbach, Caren and Edward</p> <p>ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE</p> <p>3 Beecher Ln</p> <p>Austin, TX 78746</p>            |  |  |  |  |
| 2 RECIPIENT           | <p><input checked="" type="checkbox"/> FILER      <input checked="" type="checkbox"/> SPOUSE      <input checked="" type="checkbox"/> DEPENDENT CHILD 1 _____</p>             |  |  |  |  |
| 3 DESCRIPTION OF GIFT | <p>Food and entertainment</p>   |  |  |  |  |
| DONOR                 | <p>NAME AND ADDRESS</p> <p>Dewhurst, David</p> <p>ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE</p> <p>109 N. Post Oak Lane</p> <p>#540</p> <p>Houston, TX 77024</p> |  |  |  |  |
| RECIPIENT             | <p><input checked="" type="checkbox"/> FILER      <input checked="" type="checkbox"/> SPOUSE      <input type="checkbox"/> DEPENDENT CHILD _____</p>                          |  |  |  |  |
| DESCRIPTION OF GIFT   | <p>Food and lodging</p>   |  |  |  |  |
| DONOR                 | <p>NAME AND ADDRESS</p> <p>Iger, Robert</p> <p>ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE</p> <p>500 South Buena Vista St.</p> <p>Burbank, CA 91521-0931</p>      |  |  |  |  |
| RECIPIENT             | <p><input type="checkbox"/> FILER      <input type="checkbox"/> SPOUSE      <input checked="" type="checkbox"/> DEPENDENT CHILD 1 _____</p>                                   |  |  |  |  |
| DESCRIPTION OF GIFT   | <p>Transportation</p>   |  |  |  |  |

# BOARDS AND EXECUTIVE POSITIONS

## PART 12

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, **and DO NOT include this page in the report.**

List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |   |  |  |
|--------------------|---|--|--|
| 1 ORGANIZATION     | University of St. Thomas                      |  |  |
| 2 POSITION HELD    | Board of Directors                            |  |  |
| 3 POSITION HELD BY | <input type="checkbox"/> FILER                | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| ORGANIZATION       | Huston-Tillotson University Board of Trustees |  |  |
| POSITION HELD      | Member  |  |  |
| POSITION HELD BY   | <input type="checkbox"/> FILER                | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| ORGANIZATION       | St. Gabriel's Catholic School Board           |  |  |
| POSITION HELD      | Board of Directors                            |  |  |
| POSITION HELD BY   | <input type="checkbox"/> FILER                | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| ORGANIZATION       | Cathedral School of St. Mary's                |  |  |
| POSITION HELD      | Advisory Board                                |  |  |
| POSITION HELD BY   | <input type="checkbox"/> FILER                | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |

# PERSONAL FINANCIAL STATEMENT

## PARTS MARKED "NOT APPLICABLE" BY FILER

FORM PFS

COVER SHEET

PAGE 2

On this page, indicate any Parts of Form PFS that are not applicable to you. If you do not place a check in a box, then pages for that Part must be included in the report. **If you place a check in a box, do NOT include pages for that Part in the report.**

### 6 PARTS NOT APPLICABLE TO FILER

- N/A Part 1A - Sources of Occupational Income
- N/A Part 1B - Retainers
- N/A Part 2 - Stock
- N/A Part 3 - Bonds, Notes & Other Commercial Paper
- N/A Part 4 - Mutual Funds
- N/A Part 5 - Income from Interest, Dividends, Royalties & Rents
- N/A Part 6 - Personal Notes and Lease Agreements
- N/A Part 7A - Interests in Real Property
- N/A Part 7B - Interests in Business Entities
- N/A Part 8 - Gifts
- N/A Part 9 - Trust Income
- N/A Part 10A - Blind Trusts
- N/A Part 10B - Trustee Statement
- N/A Part 11A - Business Associations
- N/A Part 11B - Assets of Business Associations
- N/A Part 11C - Liabilities of Business Associations
- N/A Part 12 - Boards and Executive Positions
- N/A Part 13 - Expenses Accepted Under Honorarium Exception
- N/A Part 14 - Interest in Business in Common with Lobbyist
- N/A Part 15 - Fees Received for Services Rendered to a Lobbyist or Lobbyist's Employer
- N/A Part 16 - Representation by Legislator Before State Agency
- N/A Part 17 - Benefits Derived from Functions Honoring Public Servant
- N/A Part 18 - Legislative Continuances
- N/A Part 19 - Contracts with Governmental Entity
- N/A Part 20 - Bond Counsel Services Provided by a Legislator

# PERSONAL FINANCIAL STATEMENT AFFIDAVIT

The law requires the personal financial statement to be verified. Without proper verification, the statement is not considered filed.

The verification page on a personal statement filed electronically with the Texas Ethics Commission must have the electronic signature of the individual required to file the personal financial statement.

The verification page on a personal financial statement filed with an authority other than the Texas Ethics Commission must have the signature of the individual required to file the personal financial statement as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations.

I swear, or affirm, under penalty of perjury, that this financial statement covers calendar year ending December 31, 2018, and is true and correct and includes all information required to be reported by me under chapter 572 of the Government Code.

The Honorable Greg Abbott

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Signature of Filer

AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me, by the said \_\_\_\_\_, this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, to certify which, witness my hand and seal of office.

---

Signature of officer administering oath

Printed name of officer administering oath

Title of officer administering oath